

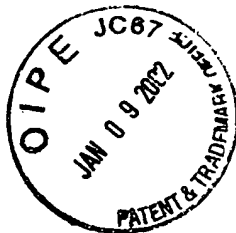


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/920,546	08/01/2001	Michael L. Roerick	EFTD-25,790

Roger N. Chauza  
HOWISON, CHAUZA, THOMA,  
HANDLEY & ARNOTT, L.L.P.  
P.O. Box 741715  
Dallas, TX 75374-1715



CONFIRMATION NO. 5942

## FORMALITIES LETTER



\*OC000000006557768\*

Date Mailed: 09/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

01/15/2002 AGOITOM 00000073 09920546

01 FC:205

65.00 OP

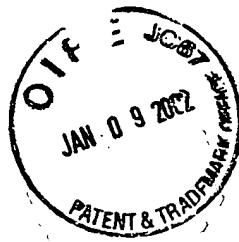
Amelia Manalac

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

EFTD-25,790



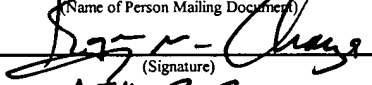
PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Michael L. Roerick  
Appl. No.: 09/920,546  
Filed: August 1, 2001  
Grp./A.U.: 2661  
Examiner: To Be Assigned  
Title: MESSAGE FORMAT FOR COMMUNICATING FINANCIAL  
INFORMATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on	
November 2, 2001	(Date of Deposit)
Roger N. Chauza	(Name of Person Mailing Document)
	(Signature)
NOV. 2, 2001	(Date of Signature)

**SUBMISSION OF MISSING PARTS  
OF APPLICATION UNDER 37 C.F.R. 1.53**

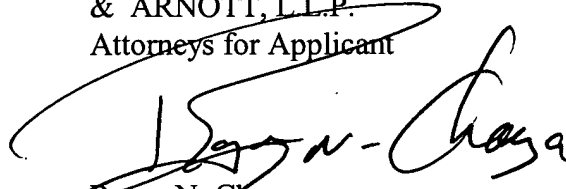
In response to the *Notice to File Missing Parts of Nonprovisional Application*, enclosed are the following items for filing in the above-referenced U.S. Patent Application:

1. Declaration and Power of Attorney, executed by the Applicant on September 27, 2001;
2. Copy of Form PTO-1533 - Notice to File Missing Parts of Nonprovisional Application- Part B - Formalities Letter - Confirmation No. 5942;
3. Copy of the Assignment to EFT DataLink, Incorporated, executed on September 27, 2001 and recordation cover sheet;
4. 10 sheets of formal drawings in compliance with 37 C.F.R. 1.84; and

**SUBMISSION OF MISSING PARTS**  
Atty. Dkt. No. EFTD-25,790  
S/N 09/920,546

5. A check in the total amount of \$105.00, to cover the surcharge set forth in 37 C.F.R. 1.16(e) of \$65, and the Assignment recordal fee of \$40. Please charge any additional fees or deficiencies in fees or credit any overpayment to Deposit Account No. 20-0780/EFTD-25,790 of HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.  
Attorneys for Applicant



Roger N. Chauza  
Registration No. 29,753

RNC:ljg

P.O. Box 741715  
Dallas, Texas 75374-1715  
Tele: 972-479-0462  
Fax: 972-479-0464  
November 2, 2001

**SUBMISSION OF MISSING PARTS**  
Atty. Dkt. No. EFTD-25,790  
S/N 09/920,546

Please type a plus sign (+) inside this box



#  
Receipt  
#

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/920,546
Filing Date	August 1, 2001
First Named Inventor	Michael L. Roerick
Group Art Unit	2661
Examiner Name	To Be Assigned
Attorney Docket Number	EFTD-25,790

Total Number of Pages in This Submission 26

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/ Incomplete Application
- ☒ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)
- ☒ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
  - (1) Request for corrected filing receipt
  - (2) Recordation cover sheet

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

Signature

Date

Nov. 2, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: November 2, 2001

Typed or printed name

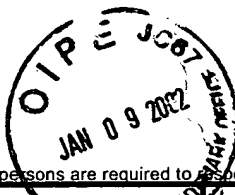
Roger N. Chauza

Signature

Date

Nov. 2, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/920,546
Filing Date	August 1, 2001
First Named Inventor	Michael L. Roerick
Examiner Name	To Be Assigned
Group Art Unit	2661
Attorney Docket No.	EFTD-25,790

**TOTAL AMOUNT OF PAYMENT** (\$)**105.00****METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **20-0780/EFTD-25,790**  
Deposit Account Name **Howison, Chauza, et al.**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

**SUBTOTAL (1)** (\$)**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	=
Multiple Dependent	-3** =	X	=

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	\$65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	\$40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**105.00****SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	Roger N. Chauza	Registration No. (Attorney/Agent)	29,753	Telephone	972-479-0462
Signature		Date	NOV. 2, 2001		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EFTD-25,790



#6  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael L. Roerick  
Serial No: 09/920,546  
Filing Date: August 1, 2001  
Group: 2661  
Title: MESSAGE FORMAT FOR COMMUNICATING FINANCIAL  
INFORMATION

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on

November 2, 2001

(Date of Deposit)

Roger N. Chauza

(Name of Person Mailing Document)

(Signature)

NOV. 2, 2001

(Date of Signature)

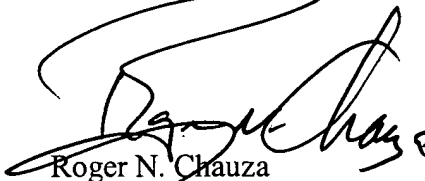
**REQUEST FOR CORRECTED FILING RECEIPT**

Inconsistencies have been noted in the above-identified filing receipt as compared to the information provided in the documents as filed. The domestic priority as claimed in the application as filed, and the domestic priority as claimed in the declaration and power of attorney identify the following priority data

Divisional application Serial No. 09/920,546, filed July 27, 2001; and  
which claims the benefit of provisional application Serial No.  
60/221,042, filed July 27, 2000.

It is respectfully requested that a corrected filing receipt be issued and forwarded to the undersigned.

Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.  
Attorneys for Applicant



Roger N. Chauza  
Registration No. 29,753

RNC:ljg  
P.O. Box 741715  
Dallas, Texas 75374-1715  
Tel.: 972-479-0462  
Fax.: 972-479-0464  
November 2, 2001





## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/920,546	08/01/2001	2661	355	EFTD- 25,790	11	8	2

Roger N. Chauza  
HOWISON, CHAUZA, THOMA,  
HANDLEY & ARNOTT, L.L.P.  
P.O. Box 741715  
Dallas, TX 75374-1715



CONFIRMATION NO. 5942

## FILING RECEIPT



\*OC000000006557767\*

Date Mailed: 09/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Michael L. Roerick, Carrollton, TX;

## Domestic Priority data as claimed by applicant

which claims the benefit of: *DIVISIONAL APPLICATION: 09/920,546 - 07/27/2001; and*  
Foreign Applications *PROVISIONAL APPLICATION 60/221,042 - 07/27/2000*

If Required, Foreign Filing License Granted 09/14/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Message format for communicating financial information

## Preliminary Class

370

EFTD-25,790

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Michael L. Roerick

Serial No.: 09/920,546

Filed: August 1, 2001

Group: 2661

Examiner: Not Yet Assigned

For: MESSAGE FORMAT FOR COMMUNICATING FINANCIAL INFORMATION

Assistant Commissioner for  
Patents  
Washington, D.C. 20231

Dear Sir:

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November 2, 2001

(Date of Deposit)

Roger N. Chauza

(Name of Person Mailing Document)

*Roger N. Chauza*

(Signature)

NOV. 2, 2001

(Date of Signature)

**TRANSMITTAL OF FORMAL DRAWINGS**

Transmitted herewith are 10 sheets of formal drawings to be substituted for the informal drawings initially filed in the above-identified application for patent.

Please charge any necessary fees or deficiencies in fees or credit any overpayment to Deposit Account No. 20-0780/EFTD-25,790 of HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.  
Attorneys for Applicant

*Roger N. Chauza*

Roger N. Chauza

Registration No. 29,753

RNC:ljj  
P.O. Box 741715  
Dallas, Texas 75374-1715  
Tel: 972-479-0462  
Fax: 972-479-0464  
November 2, 2001

**TRANSMITTAL OF FORMAL DRAWINGS**

Atty. Dkt. No. EFTD-25,790  
S/N 09/920,546